

ATTORNEY DOCKET NO.
11321-P012USD14

PATENT

UNITED STATES PATENT AND TRADEMARK OFFICE

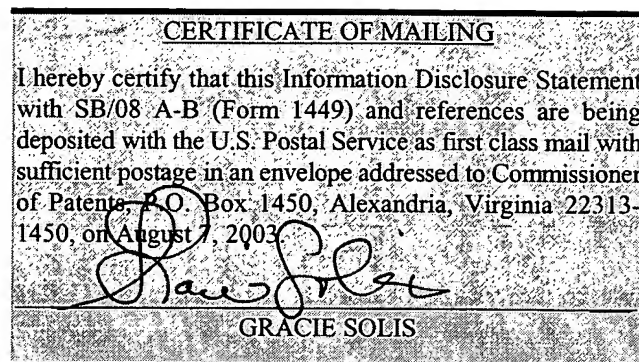
In re Application of: Richard E. Smalley et al.

Group Art Unit: Not Yet Assigned

Serial No.: Not Yet Assigned

Filed: Herewith

Title: CARBON FIBERS FORMED FROM
SINGLE-WALL CARBON NANOTUBES



INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313

Dear Sir:

This Information Disclosure Statement is being submitted in connection with the above-identified application for patent. Applicant submits herewith patents, publications or other information of which they are aware, which he/she believes may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 C.F.R. § 1.98(a)(1).

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A copy of each of the items identified on the attached Form PTO-1449 is supplied herewith, except for the pending patent applications, for which no copies are being submitted.

Applicant believes that no fee is due at this time. However, the Assistant Commissioner is hereby authorized to credit any overpayment or for inadvertently omitted fees to Deposit Account No. 23-2426 (11321-P012USD14).

Respectfully submitted,

By: 

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11321-P012USD14 08/07/2003

**LIST OF PATENTS AND PUBLICATIONS FOR
 APPLICANTS' INFORMATION DISCLOSURE
 STATEMENT**

Reference Designation

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
____ AAA	5,698,175	12/16/1997	Hiura et al.	423	447.1	
____ ABA	5,641,466	06/24/97	Ebbesen et al.	423	447.2	
____ ACA	5,560,898	10/01/96	Uchida et al.	423	461	
____ ADA	5,935,339	08/10/99	Henderson et al.	134	1	
____ AEA	5,730,940	03/24/98	Nakagawa	422	68.1	
____ AFA	5,363,697	11/15/84	Nakagawa	73	105	
____ AGA	4,785,189	11/15/88	Wells	250	492.2	
____ AHA	5,171,992	12/15/92	Clabes et al.	250	306	
____ AIA	5,126,574	06/30/92	Gallagher	250	492.2	
____ AJA	5,268,573	12/07/93	Weiss et al.	250	306	
____ AKA	5,381,101	01/10/95	Bloom et al.	325	676	
____ ALA	5,503,010	04/02/96	Yamanaka	73	105	
____ AMA	5,824,470	10/20/98	Baldeschwieler et al.	435	6	

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
____ ANA	EP 1 176 234 A2	12/05/1993	European			
____ AOA	WO 96/18059	06/13/1996	PCT			

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial	
____ APA	LI, <i>et al.</i> , "Large-Scale Synthesis of Aligned Carbon Nanotubes," <i>Science</i> , Volume 274, December 6, 1996, pp. 1701-1703.
____ AQA	LIU, <i>et al.</i> , "Fullerene Pipes," <i>Science</i> , Volume 280, May 22, 1998, pp. 1253-1256.
____ ARA	THESS, <i>et al.</i> , "Crystalline Ropes of Metallic Carbon Nanotubes," <i>Science</i> , Volume 273, July 26, 1996, pp. 483-487.
____ ASA	TOHJI, <i>et al.</i> , "Purifying single-walled nanotubes," <i>Nature</i> , Volume 383, October 24, 1996, pp. 679.
____ ATA	TOHJI, <i>et al.</i> , "Purification Procedure for Single-Walled Nanotubes," <i>J. Phys. Chem. B.</i> , Volume 101, No. 11, 1997, pp. 1974-1978.
____ AUA	AJAYAN, <i>et al.</i> , "Nanometre-size tubes of carbon," <i>Rep. Prog. Phys.</i> , Volume 60, 1997, pp. 1025-1062.
____ AVA	FISHBINE, "Carbon Nanotube Alignment and Manipulation Using Electrostatic Fields," <i>Fullerene Science & Technology</i> , Volume 4(1), 1996, pp. 87-100.

- _____ AXA AJAYAN, *et al.*, "Aligned Carbon Nanotube Arrays Formed by Cutting a Polymer Resin-Nanotube Composite," *Science*, Volume 265, August 26, 1994, pp. 1212-1214.
- _____ AYA WANG, *et al.*, "Properties of Buckytubes and Derivatives," *Carbon*, Volume 33, No. 7, 1995, pp. 949-958.
- _____ AZA SEN, *et al.*, "Structures and Images of Novel Derivatives of Carbon Nanotubes, Fullerenes and Related New Carbon Forms," *Fullerene Science and Technology*, Volume 5(3), 1997, pp. 489-502.
- _____ BAB DRAVID, *et al.*, "Buckytubes and Derivatives: Their Growth and Implications for Buckyball Formation," *Science*, Volume 259, March 12, 1993, pp. 1601-1604.
- _____ BBB SMALLEY, "From dopyballs to nanowires," *Materials Science and Engineering*, Volume B19, 1993, pp. 1-7.
- _____ BCB CHEN, "Growth and Properties of Carbon Nanotubes," *Thesis for the degree Master of Science, Rice University*, Houston, Texas, May 1995.
- _____ BDB RINZLER, *et al.*, "Field Emission and Growth of Fullerene Nanotubes," *Presented at the Fall, 1994 MRS Meeting*, November 28, 1994, Boston, submitted for MRS proceedings, Volume 359.
- _____ BEB GAMALY, *et al.*, "Mechanism of carbon nanotube formation in the arc discharge," *Physical Review B*, Volume 52, Number 3, July 15, 1995-I, pp. 2083-2089.
- _____ BFB GE, *et al.*, "Scanning tunneling microscopy of single-shell nanotubes of carbon," *Appl. Phys. Lett.*, Volume 65(18), October 31, 1994, pp. 2284-2286.
- _____ BGB AJAYAN *et al.*, "Opening carbon nanotubes with oxygen and implications for filing," *Nature*, Volume 362, April 8, 1993, pp. 522-525.
- _____ BHB CHICO *et al.*, "Pure Carbon Nanoscale Devices: Nanotube Heterojunctions," *The American Physical Society*, Volume 76, Number 6, February 5, 1996, pp. 971-973.
- _____ BIB DRESSELHAUS *et al.*, "Science of Fullerenes and Carbon Nanotubes," *Academic Press*, Chapter 19, pp. 856-860.

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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